

<b>EMPLOYMENT AND TRAINING ADMINISTRATION</b> <b>ADVISORY SYSTEM</b> <b>U.S. DEPARTMENT OF LABOR</b> <b>Washington, D.C. 20210</b>	<b>CLASSIFICATION</b> WIOA National Reserve
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	<b>DATE</b> May 11, 2015

**ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 32-14**

**TO:** STATE WORKFORCE AGENCIES  
STATE WORKFORCE ADMINISTRATORS  
STATE WORKFORCE LIAISONS  
STATE AND LOCAL WORKFORCE BOARDS AND CHAIRS  
STATE LABOR COMMISSIONERS  
WIA/WIOA SECTION 166 INDIAN AND NATIVE AMERICAN PROGRAM  
GRANTEES

**FROM:** PORTIA WU   
Assistant Secretary

**SUBJECT:** POWER Initiative National Dislocated Worker Grants

1. **Purpose.** To announce the availability of up to \$20 million in National Dislocated Worker Grants (DWGs) from funds available in Program Years 15, 16, and 17, as part of the Partnerships for Opportunity and Workforce and Economic Revitalization (POWER) Initiative. POWER DWG awards will range from \$500,000 to \$2 million and will support the planning and implementation of workforce strategies for regions and communities that are negatively impacted by changes in the coal economy.

2. **References.**

- Workforce Innovation and Opportunity Act (WIOA), section 170, Public Law (Pub. L.) 113-128, enacted July 22, 2014
- Workforce Investment Act of 1998 (WIA), section 173 (29 U.S.C. 2918)
- WIA regulations at 20 CFR part 663 and 671
- Training and Employment Guidance Letter (TEGL) No. 16-03 "National Emergency Grant (NEG) Policy Guidance," dated January 26, 2004
- TEGL No. 16-03, Changes 1, 2, 4 and 5, "National Emergency Grant (NEG) Policy Guidance"
- "Workforce Investment Act: National Emergency Grants – Application Procedures," 69 Federal Register Notice 23052 (April 27, 2004)

<b>RESCISSIONS</b> None	<b>EXPIRATION DATE</b> Continuing
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- Information Collection Forms – ETA 9103, 9104, 9105, 9106, 9107 (OMB Control No. 1205-0439); ETA Form 9090 and the Workforce Investment Act Standardized Record Data (WIASRD) format (OMB Control No. 1205-0420); and ETA Form 9130 (OMB Control No. 1205-0461)
- TEGL14-03, “Performance Reporting Submission Procedures for the Workforce Investment Standardized Record Data (WIASRD) and the Annual Report under Title IB of the Workforce Investment Act (WIA),” dated November 13, 2013
- Training and Employment Notice (TEN) 32-10, “Revised National Emergency Grant Application Submission and Review Process,” dated March 30, 2011
- TEGL No.10-09, “Implementing Priority of Service for Veterans and Eligible Spouses in all Qualified Job Training Programs Funded in whole or in part by the U.S. Department of Labor (DOL),” dated November 10, 2009<sup>1</sup>
- TEGL 22-04, “Serving Military Service Members and Military Spouses under the WIA Dislocated Worker Formula Grant,” dated March 22, 2005
- TEGL 15-10, “Increasing Credential, Degree, and Certificate Attainment by Participants of the Public Workforce System,” “Dated December 15, 2010
- 2 CFR Part 180
- 29 CFR Part 98
- Partnerships for Opportunity and Workforce and Economic Development (POWER) Initiative Implementation Grant FFO, available at <http://www.eda.gov/power>

### 3. **Background.**

#### POWER Initiative

The POWER Initiative is a new interagency effort to assist communities negatively impacted by changes in the coal industry and power sector. The goal of the POWER Initiative is to effectively leverage complementary federal economic and workforce development resources to assist communities and workers negatively impacted by changes in the coal economy. The POWER Initiative Implementation Grant FFO, of which this TEGL is a part (hereinafter referred to as the “POWER FFO”), features grants from the Department of Commerce’s (DOC) Economic Development Administration (EDA), the Department of Labor’s Employment and Training Administration (ETA), the Appalachian Regional Commission (ARC), and the Small Business Administration (SBA).<sup>2</sup> By aligning

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<sup>1</sup> Much of the guidance on this list was written to apply to the National Emergency Grant program under the Workforce Investment Act. National Dislocated Worker Grants are authorized by the Workforce Innovation and Opportunity Act and replace National Emergency Grants effective July 1, 2015. However, we consider the listed NEG guidance to apply for purposes of the POWER DWGs.

<sup>2</sup> The POWER FFO is designed for an applicant “team” to come together with an integrated project that addresses the needs of these communities that are negatively impacted by changes in the coal industry and power sector. Separate applications are required to be submitted to each funding agency from which the applicant team requests funding, and a single “core” project narrative is necessary across all funding agencies. Different members of an applicant team may be the lead applicant on the separate applications submitted to each funding agency. This TEGL provides the requirements for ETA’s funding application.



and leveraging these resources, this FFO seeks projects that reach across economic development and workforce development systems and support local solutions to promote strategic planning and integrated implementation for long-term economic vitality.

The POWER Initiative grants will go to community- or regionally-driven economic and workforce development organizations and a wide range of other partners anchored in impacted coal communities. These grants will enable impacted communities to develop a deliberate and measured planning and/or implementation process to strengthen economic development strategies and build local and regional workforce strategies, and to promote new job creation opportunities. All four grant programs will prioritize applications that establish a clear linkage between the proposed project and how it will result in local economic growth, job creation, and job training and reemployment. All applications should address how the regional workforce will be positively affected, and integrated into the community or region's economic development strategy.

Communities eligible for POWER Initiative grants are those that have been impacted, or can reasonably demonstrate that they will be impacted, by coal mining and coal power plant employment loss (or layoffs in the manufacturing or transportation logistics supply chains of either). Instead of pre-defining geographies that are eligible, we welcome any application that can demonstrate that there is economic distress or negative impact resulting from coal economy contractions (e.g. mine closures, power plant closures, etc.). A description of the community's reliance on the coal economy and the related contractions will be expected in the project narrative of each individual funding application (see Section 6 below under Eligible Applicants).

This TEGL describes the specifics of the ETA-funded portion of the POWER Initiative.

#### National Dislocated Worker Grants

ETA's investments in the POWER Initiative will be funded through a special National Dislocated Worker Grant (DWG) offering, called POWER DWGs.<sup>3</sup> These grants will support workforce development activities that will prepare dislocated workers for good jobs in high-demand occupations aligned with a regional or community economic development strategy. DWGs are discretionary grants awarded by the Secretary of Labor under section 170 of the Workforce Innovation and Opportunity Act to provide employment-related services for dislocated workers. DWGs provide resources to states and other eligible applicants to respond to layoff events causing significant job losses. This funding temporarily expands the capacity of states or local workforce areas to serve dislocated workers and meet the increased demand for employment and training services, with the goal of quickly reemploying laid-off workers and enhancing their employability and earnings.

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<sup>3</sup> National Dislocated Worker Grants are authorized by the Workforce Innovation and Opportunity Act and replace National Emergency Grants effective July 1, 2015

## National Dislocated Worker Grant Program & POWER

To support an American economy that provides opportunity for all, workers must have skills that align with the needs of businesses and must be readily able to adapt as business needs evolve. We anticipate that POWER grantees will support a job-driven approach by ensuring that local and regional economic and workforce development plans are aligned and coordinated, and that the grantees will address specific needs of businesses and workers in the community. The projects proposed under this POWER DWG offering should be regional, industry-focused approaches to workforce and economic development that improve access to good jobs and help communities and workers plan for and recover from transitions in the coal economy.

To achieve the goal of economic transition and diversification, POWER DWGs must work within the POWER Initiative framework to bring together economic development, workforce development, and a wide range of other regional and community stakeholders and businesses. Effective planning and partnerships across targeted, growing and in-demand industries will help ensure that coal-reliant communities are able to grow and diversify their economies in careful and thoughtful ways and help ensure that they are able to foster and maintain viable businesses. Workforce training aligned with this planning, including those funded through the POWER DWG, will help ensure that skilled workers are available for new and existing jobs in the course of this transition.

ETA has committed to setting aside up to \$20 million over three years to support the POWER Initiative. This TEGL provides instructions for eligible applicants to apply for these funds, and information on how the funds can be used upon receipt of a grant award.

### **4. Qualifying Events/Qualified Communities:**

#### General POWER Qualifications

Communities eligible for POWER DWG funds are those that have been impacted, or can reasonably demonstrate that they will be impacted by a public announcement or individual notifications of layoff, by coal mining or coal power plant employment loss (or layoffs in the manufacturing or transportation logistics supply chains of either). The Department will review applications that can demonstrate the degree of economic distress/impact resulting from coal economy contractions (e.g. mine closures, power plant closures, etc.). Applicants must demonstrate how the project proposed will mitigate those impacts through support for job-creating economic development in compatible industries.

A description of the community's reliance on the coal economy and the related contractions must be included in the project narrative for each application. This description may include information such as shrinking coal-related employment, announced job cuts or company closures, decreased economic activity related to the coal economy, and other information that the applicant has determined will provide evidence of the impact of coal-related economic transition on their economy.



### POWER DWG Qualifying Events

In addition to demonstrating the broad impacts of downturns in the coal economy on the local or regional economy, applicants will be required to identify the area that will be covered by the project. This project area must align with the ongoing economic development strategic planning efforts.

Applicants must also identify the qualifying event(s) that enable them to receive DWG funds. There are two methods by which the qualifying event(s) threshold may be met:

1. Identification of one or more qualifying layoffs that occur in regions or communities. Qualifying layoffs are those in which **at least 50 total job losses** can be directly or indirectly attributed to downturns in the coal economy—including but not limited to mining, transport, and power generation—that have occurred no more than **18 months** before the application date within the identified project area. *Applications based upon qualifying layoffs occurring more than 18 months before the application date must include a substantial justification of how the impacts of these layoffs are still impacting the community or regional economy.*

The 50 total job losses may come from a single layoff or from a series of layoffs across the area to be covered by the grant.

2. In rare cases, there may be regions or communities that wish to apply for POWER DWG funds but cannot demonstrate 50 total job losses during an 18 month period due to the small, rural nature of the region. For these communities, ETA may accept an application that can show job losses that have had a substantial impact on the unemployment rate of the region.
5. **Eligible Participants.** Participants in POWER DWGs must be eligible dislocated workers who live or were dislocated from employment within the area covered by the application. Generally, a dislocated worker is an unemployed individual with previous attachment to the workforce who was laid off. (For a full definition of dislocated worker eligibility, see WIOA section 3(15).)

For POWER DWGs, grant participants must be dislocated workers, and be directly impacted by layoffs from coal mines or coal-fired power plants, or layoffs from the manufacturing or transportation logistics chains of either. Any of these eligible dislocated workers who live or work within the region or community identified in the grant application may be served through this grant. Grantees will be permitted to add participants to the grant at any time during the first year of the grant; at the end of the first year, a grant modification must be submitted that will formally include all additional participants. Similar to other ETA-funded programs, veterans will receive Priority of Service for training and services made available under POWER DWGs, as required by the Jobs for Veterans Act and described in TEGL 10-09.

6. **Eligible Applicants.** Applicants eligible to apply for POWER DWGs are the state agencies responsible for administering WIOA title I activities, including those in outlying areas, within which is a qualified POWER community or region, as well as entities eligible to receive funding under section 166 (Indian and Native American Program grantees) of WIOA. State agency applicants must include in their applications as partners the relevant local workforce development board(s) (which were called workforce investment boards under WIA) in the impacted regions or communities.

Per the requirements of the POWER Initiative, applicants must describe in their project narrative how they have partnered with economic development and other organizations as part of the broader POWER Initiative.

7. **Application Procedures and Requirements.** Applications for POWER DWGs are to be submitted via the DWG Electronic Application System (eSystem). Applications will be accepted following the publication of the FFO through the end of Program Year 2017, or until funds are no longer available. DWGs are listed in the Catalog for Federal Financial Assistance under 17.277 and are funded by the Employment and Training Administration. This Training and Employment Guidance Letter serves as the announcement for a new funding opportunity FOA-ETA-15-09, POWER National Dislocated Worker Grants. The application must contain:

- An SF-424 (OMB No. 4040-0004)
- An SF-424A (OMB No. 4040-0006)
- A Project Synopsis – Form 9106 (OMB No. 1205-0439)
- A Planning Form – Form 9103 (OMB No. 1205-0439), with projected enrollment and expenditure information. Work-based learning activities should be included under the existing “OJT” fields.
- A project narrative that addresses the items discussed in the POWER FFO, as well as those listed below under POWER DWG Project Narrative Requirements (OMB No. 1205-0439), and includes the activities contained in the “Use of Funds” portion of this section.
  - ETA anticipates that an application will be approximately 15 pages in length (double spaced).

*NOTE: Work-based learning activities should be included in the grant application under the existing “OJT” fields.*

The grant award package may include additional terms and conditions that will apply to the project that are not listed here, including information on grant modifications, enrolling of additional participants, and completing employer data records during the course of the grant project.



## POWER DWG Coordination With Economic Development Planning

An eligible region or community interested in applying for a POWER DWG must demonstrate how the proposed workforce project is integrated with an existing Comprehensive Economic Development Strategy (CEDS), or other relevant strategic economic development plan. As described below, POWER DWG applications require a description of the alignment between the proposed POWER DWG activities and the overarching regional or community economic development strategy. In addition, a copy of this strategy or plan must be included with an application for a POWER DWG.

## POWER DWG Project Narrative Requirements

As noted in the POWER FFO, separate applications are required to be submitted to each funding agency from which the applicant team wishes to receive funding. However, a single “core” project narrative should be developed that will be applicable across all funding agencies. The “core” project narrative will provide an overview of the applicant’s project goals, expected impacts and funding request and a description of how funding from multiple agencies would assist the applicant in reaching their desired impact. To reduce the burden on applicants, ETA, along with the other funding agencies, will accept the “core” project narrative as part of each application for funding under POWER, with necessary elaboration for agency-specific requirements. This “core” project narrative should include, but is not limited to, the following information:

### *A description of the qualifying layoff(s) and its/their impact on the community*

- This would include any layoff events, announced future layoffs, economic impacts from coal economy contractions or down-sizing of the workforce, and descriptions of how the community has been impacted, or can reasonably demonstrate that they will be impacted, by coal economy employment losses. Economic indicators, labor market analyses, public announcements, demographic, and industry data are strong sources of data to demonstrate these impacts.
- Rapid Response activities which have been or will be conducted, including the data gathered by company and/or worker surveys.
- Applicants are encouraged to provide data (median income, coal mine closures, etc.) from federal sources such as the Bureau of Labor Statistics, the Energy Information Administration, or DOL (<http://www.msha.gov/OpenGovernmentData/OGIMSHA.asp>). All sources of information, however, will be considered as part of the application. Please note that regions are geographic and economic areas, which need not be contiguous or defined by political boundaries, that are capable of undertaking self-sustained economic development.

### *A clear project summary and description of integrated approach of economic and workforce development activities*

- A discussion of the overall project and specific discussion of economic and workforce development activities.

- A discussion of how the economic and workforce development activities described are going to be integrated in a complementary manner.
- A discussion of how each federal funding source would be used, and how any existing federal, state, local, and/or private resources/capacity would be leveraged.
- For applications seeking funding only for DWG funding, the narrative must include a full explanation of how economic development activities will be integrated into the program.
- An overview of the applicant's funding requests to all funding agencies including an overview budget (more detailed budgets will be required for each individual application for funding requested from each funding agency).

*A description of connectedness with existing planning efforts*

- A demonstration of how the project proposed is the implementation of an existing planning effort. Eligible plans that will be considered are CEDSs that address economic diversification needs or other equivalent regional economic development plans, or regional and/or state-wide strategies for addressing workforce shortfalls that are compatible with and aligned to applicable economic development plans. For this POWER DWG opportunity, applicants should describe the coordination with or development of strategic plans as follows:
  - If one or more plans exist within the region, include any referenced plan as part of the application and describe how it will align with the proposed DWG project; or,
  - If a plan exists but requires additional work to ensure alignment with the proposed DWG project, describe the additional planning that will be undertaken with the DWG and include a copy of the plan(s) in the application; or,
  - If no current plan exists, describe how the strategic planning portion of the proposed DWG project will develop a comprehensive plan for the region or community.
- A description of the region's economic diversification goals and how the project will help bring about this diversification within the region

*A description of the regional economic and workforce development partnership*

- A discussion of what resources and capabilities each partner brings to the project and how they will functionally align, leverage and execute their collective efforts in the implementation of this project; examples of project partners include local workforce development boards, economic development organizations, educational or training institutions, community leaders, community-based organizations, or other stakeholders.
- A description of any additional (existing) federal or state resources (grants, loans, etc.) that would complement activities described in the project and how their effectiveness would be amplified.



- 8. Application Review & Award.** Applications for POWER DWGs will be accepted, and funding decisions will be made, on a rolling basis. All applications received while funds remain available for the POWER Initiative, will be given an initial review for completeness by the Grant Officer before program review to assess the technical merit and responsiveness of each application. This program review will carefully evaluate the applications against the criteria outlined in this TEGL and in the POWER FFO to determine the merits of each application. These criteria are based on the policy goals, priorities, and emphases set forth in the FFO and in this TEGL. The program review will advise the Grant Officer on whether to make a selection for funding; the results of the review are advisory in nature and not binding on the Grant Officer. The Grant Officer reserves the right to take into consideration other relevant factors when applicable. Such factors may include the geographic distribution of funds and/or other relevant factors. The Grant Officer may also consider any information that comes to his/her attention.

Applicants whose applications that do not initially meet the funding criteria will be able to resubmit their application with revisions or new information for re-evaluation.

*NOTE: ETA will determine if the applicant had any restriction on spending for any ETA grant due to adverse monitoring findings within the past three years. Depending on the severity of the findings, the Grant Officer may elect to not provide the applicant a grant award, or to issue an award with special conditions.*

ETA may elect to award a grant with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature, which constitutes a binding offer by the applicant. All applications deemed to be responsive by the merit review panel will then go through a risk review process. Before making an award, ETA will review information available through any Office of Management and Budget (OMB)-designated repository of government-wide eligibility qualification or financial integrity information, such as the Federal Awardee Performance and Integrity Information System (FAPIIS), Dun and Bradstreet, and "Do Not Pay." Additionally, ETA will comply with the requirements of 2 CFR Part 180 and 29 CFR Part 98 (Government-wide Debarment and Suspension (Non-procurement)). This risk evaluation may incorporate results of the evaluation of the applicant's eligibility (application screening), or the quality of its application (merit review). If ETA determines that an entity is responsible and an award will be made, special conditions that correspond to the degree of risk assessed may be applied to the award. Risk-related criteria to be evaluated include:

1. Financial stability;
2. Quality of management systems and ability to meet the management standards prescribed in the Uniform Administrative Guidance;
3. History of performance. The applicant's record in managing awards, cooperative agreements, or procurement awards, if it is a prior recipient of such Federal awards, including timeliness of compliance with applicable reporting requirements, and if

applicable, the extent to which any previously awarded amounts will be expended before future awards;

4. Reports and findings from audits performed under Sub-part F – Audit Requirements of the Uniform Administrative Guidance or the reports and findings of any other available audits and monitoring reports containing findings, issues of non-compliance, or questioned costs;
5. The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on recipients.

In addition, under the guidelines for the POWER Initiative, ETA's technical and merit reviews will also include a consideration of the following factors:

1. Economic Impact
  - The strength of the nexus between the proposed project and the economic impacts of contractions in the coal economy; and,
  - The relative economic distress of the region.
2. Relative Strength of Economic and Workforce Development Integration
  - The demonstrated coordination between the project's economic development investment and workforce development efforts;
  - The extent to which the application meets the overall funding principles of section 1.C of the POWER FFO; and,
  - The extent to which the project will enable the community/region to become more diversified and more economically prosperous and dislocated workers served by the project regain family supporting jobs and careers through reemployment.
3. Relative Strength of Connectedness with Existing Plans and Strategies
  - The connectedness of the project with an existing CEDS or equivalent economic development and/or workforce development strategies.
4. Relative Viability of Project
  - The ability of the proposed project to realistically achieve the desired results and catalyze additional resources;
  - The ability of a project to start quickly, create jobs, and assist workers; and,
  - The financial or management capability of the applicant.

*NOTE: Any region or community that has an existing National Emergency Grant to respond to coal industry layoffs should coordinate the grant activities with any POWER-related economic development planning activities. Any new application for POWER DWG funds from an area that has an existing grant for coal industry layoffs must describe the coordination of the activities of the POWER DWG and the existing grant as part of the project narrative.*



9. **Use of Funds.** POWER DWGs should provide services that are aligned with, and designed to support the goals of, the region's POWER Initiative economic development strategy. Applicants should consider providing those services that will best ensure participants have the skills and competencies necessary to compete for jobs in emerging or targeted industry sectors as identified by the POWER Initiative planning process. The types of activities and services that may be provided are listed below; other potential activities and services may be allowed based on consultation with ETA.

### Strategic Planning

One priority of the POWER DWGs is to align workforce planning with economic planning to ensure states and regions are implementing industry-focused approaches to workforce and economic development. Regional planning and strategies support dislocated workers by assessing the regional economic landscape to identify new or growing employment opportunities in the region. They also help ensure partnerships and regional assets from the workforce investment system, industry, community colleges, labor unions, nonprofits and other stakeholders are aligned and integrated under strategies that can be used to respond to economic shocks, such as plant downsizing or closing. These activities may support the development of new strategies or updates and expansion of preexisting plans and strategies.

Power DWG partnerships are authorized to use a portion of funds for planning purposes, with a focus on finalizing and linking workforce development strategies with CEDS or other relevant economic development plans. Allowable uses of POWER DWG funds for planning include, but are not limited to:

- Partnership and program development with stakeholders, employers, apprenticeship programs, etc, including convening regional partners, employers, or other stakeholders;
- Acquisition, analysis and utilization of workforce information to identify regional trends, including but not limited to labor market information and other state or private data;
- Asset mapping and other analysis, such as Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis;
- Developing regional plans;
- Developing early layoff warning systems or conducting other comprehensive layoff aversion strategy formulation;
- Training for staff in State and local areas necessary to facilitate regional planning and implement regional strategies;
- Establishing social and/or peer learning networks among regions using sector strategies;

- Identifying and mapping the necessary skills and competencies for in-demand jobs, and assessing how well those skills and competencies are reflected in existing training programs and curricula; or,
- Identifying aligned industry credentials for those skills and competencies needed

*Up to 20 percent of the proposed grant amount, but not more than \$250,000, may be used for planning purposes.*

#### Program Services

ETA is interested in funding programs that can effectively recruit and serve a range of dislocated workers, and are built around a comprehensive, up-front assessment of participant skills relative to those required for employment and provide customized interventions across four tracks: 1) re-employment services such as comprehensive skills assessments, intensive coaching, and other short-term, specialized services culminating in direct job placement; 2) training and work-based learning opportunities such as OJT Registered Apprenticeship; 3) accelerated skills training, with a focus on work-based training, such as Registered Apprenticeship, that leads to industry-recognized credentials and employment; and 4) entrepreneurial training opportunities. ETA is particularly interested in programs that coordinate closely with Unemployment Insurance (UI) programs to ensure UI claimants, individuals who have exhausted UI benefits, and other dislocated workers encountering long-term unemployment are provided intensive, staff- assisted counseling, reemployment services and assessments to help them navigate entry into new careers<sup>4</sup>. POWER DWG Program Services are categorized into two categories:

1. Enhanced Career Services to Dislocated Workers
2. Training and Work-Based Training Models

#### *Enhanced Career Services to Dislocated Workers*

Enhanced career services provide dislocated workers with the range of services, training, and job placement assistance they need to fill jobs in identified emerging or other high demand sectors. Some participants may require re-employment services such as career coaching and assistance in adapting their skills and experience to new industries, while others may benefit from short-term and even longer-term training to obtain good jobs. These workers may require targeted and customized employment assistance and counseling, training, and other specialized service interventions to succeed in the labor market as rapidly as possible.

POWER DWGs will be administered consistent with WIOA, which allows greater flexibilities in providing services to dislocated workers through career services. Applicants must describe the types of career services, consistent with WIOA and applicable state and local policies, they will undertake in their proposal which may include:

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<sup>4</sup> DWG grant funds may be used to provide Needs-Related Payments to eligible participants when authorized by local policies and procedures.



- Short-term prevocational services, including –
  - Development of learning skills
  - Communication skills
  - Interviewing skills
  - Punctuality
  - Personal maintenance skills
  - Professional conduct skills;
- Internships or work experiences that are linked to careers;
- English-language acquisition programs in coordination with other activities, as appropriate for individuals to obtain unsubsidized employment;
- Comprehensive and specialized assessments of the skill levels and service needs of dislocated workers, which may include –
  - Diagnostic testing and use of other assessment tools; and
  - In-depth interviewing and evaluation to identify employment barriers and development of individual employment plans;
- Career planning, job coaching and job matching services;
- Identification of appropriate training programs;
- Job development and placement; and,
- Providing referrals to, and coordination with, other programs and services.

#### *Training and Work-Based Training Models*

Applicants must discuss and provide a rationale for the types of career, training or work-based training to be undertaken under the POWER DWG project—including how these strategies will help meet the goals identified by the economic development planning process. Allowable training and work-based training strategies include:

- Traditional classroom training funded through Individual Training Accounts (ITAs)
- Development and provision of On-the-Job Training projects;
- Development and provision of transitional job opportunities and policies;
- Pre-apprenticeship training for dislocated workers with linkages to Registered Apprenticeships;
- Referrals and support in placing participants into Registered Apprenticeship programs, including development of policies for use of ITAs and supportive services to support participation in these programs;
- Development of customized/cohort-based training to meet the needs of employers;
- Development and provision of work support activities for workers with barriers to employment while in training, including low-wage workers and workers with disabilities, such as supportive services, activities during non-traditional hours, assistive technology, benefits planning, and the inclusion of onsite child care while participating in these activities;
- Updating of curricula and training faculty in existing programs to be better aligned with employer needs; and,

- Development and provision of competency-based training strategies that result in stackable and/or latticed credentials that are industry recognized.

Selected work-based training models must comply with the following requirements:

- OJT opportunities and customized training must be provided under a contract with an employer in the private-nonprofit or for-profit sector
  - Credential attainment is **not** required to be a part of OJT, and OJT will continue to be exempt from the ETA's credential measure. However, grant recipients are strongly encouraged to prioritize OJT opportunities to include a formal training component that leads to a credential.
  - The parameters associated with OJT in ETA's current OJT guidance, TEGLs 4-10 and 16-12, apply to any OJT opportunities offered under the POWER DWG, notwithstanding the definition of prolonged unemployed contained in these guidance documents and the OJT reimbursement rate allowed in TEGL 4-10.
  - Consistent with WIOA, the application should identify the wage cap for OJT. Generally it is 50 percent, however, the Governor or local board may increase it to 75 percent based on certain factors. If seeking an increase in the wage cap to 75 percent, the application should identify the factors it is using to make the determination, they may include:
    - Participant characteristics;
    - Size of the employer or employers;
    - Quality of the employer-provided training, as well as any advancement opportunities for participants; and,
    - Other factors identified in the application.
- Although the purpose of the POWER DWG is to provide support for dislocated workers who are currently unemployed, a portion of available funding may be used for incumbent worker training (IWT) strategies for underemployed workers—i.e., workers who would prefer full-time work but are working part-time for economic reasons. While these workers are employed, they have experienced a reduction in hours or a previous dislocation that has led them to accept reduced employment and often lower wages that may have a permanent effect on their careers. IWT strategies, if proposed, must be described in the application narrative. These strategies must focus on increasing skills for underemployed workers in an effort to advance these workers to more skilled positions with the same employer or industry sector leading to an increase in earnings through more work hours or an increase in pay. Once these workers advance, the employer must provide an opportunity to the local service provider to fill this now vacant position with a local dislocated worker. As part of the Incumbent Worker upskilling strategy, applicants must describe their upskill/backfill strategy in their application narrative.
- Transitional jobs opportunities must be provided under a contract with an employer in the private non-profit or for-profit sector, as well as non-federal public sector



employers. Transitional jobs are time-limited work experiences that are subsidized for dislocated workers with barriers to employment who are either chronically unemployed, long-term unemployed, or have an inconsistent work history. Successful transitional jobs strategies often include partnerships with other programs such as Temporary Assistance for Needy Families (TANF). If transitional jobs are part of the proposal, they should be described in the application narrative.

For non-work-based training, project operators must limit the training opportunities provided to training providers listed in their Eligible Training Provider List (ETPL), although project operators may issue training contracts as provided in section 134(c)(3)(G) of WIOA, as proposed training programs must have demonstrated success in serving the targeted population. Additionally, project operators should give preference to competency-based education and training that results in stackable, industry-recognized credentials.

10. **Application Period.** Eligible applicants may apply for POWER DWGs upon publication of the POWER Initiative FFO. However, it may be beneficial for potential applicants to consider the full range of POWER projects that they intend to seek funding for and submit applications at the most appropriate times based on the specific application deadlines and requirements from each funding agency. Because POWER DWGs require alignment with an existing economic development plan, a community that expects to apply for EDA funds under the POWER Initiative would likely be better off waiting to apply for a POWER DWG until such time as an effective POWER economic development plan has been developed.

POWER DWG applications will be accepted through Program Year 2017, which ends on June 30, 2018, or until the funds reserved for this initiative have been awarded.

11. **Awards.** POWER DWG awards will range from \$500,000 to \$2 million, depending on the needs identified in the application, the number of participants to be served, and the amount of funds that remain available for award. Supplemental funding may be awarded upon the expenditure of the initial funding, based upon demonstrated need, project performance to date, and the availability of funds.

Based upon the specific information included in the application, amount of funds remaining available, or other factors, ETA may make awards for less than the amount requested by the applicant.

Awards for any applications received before July 1, 2015 will not be funded until after July 1, 2015.

12. **Funds Availability.** Awarded funds will be available for expenditure from the date of award for a period that includes the remainder of the Program Year of award plus two additional Program Years. However, the Department reserves the right to provide period of performance extensions beyond this date, as it deems appropriate and necessary, to achieve the purposes of these awards.

**13. Performance and Fiscal Reporting.** To ensure ETA is able to assess the success of the POWER DWG projects, the collection of accurate, quality data is a critical component of financial and performance accountability. To satisfy statutory and regulatory recordkeeping and reporting requirements, states and other entities must report characteristics, services received, and outcomes of participants served with WIOA funds, including POWER DWGs. Such information is necessary to determine the success of these investments. The following performance and fiscal reports are required:

- ETA 9090 – WIA Quarterly Report (OMB Control No. 1205-0420)
- Workforce Investment Act Standardized Record Data (WIASRD) Quarterly Submission (OMB Control No. 1205-0420)
- ETA 9130 – U.S. DOL ETA Quarterly Financial Status Report (OMB 1205-0461)
- ETA 9104 – DWG Quarterly Performance Report (QPR) (OMB 1205-0439)

States must submit WIASRD data on all participants and exiters, on a quarterly basis, from POWER DWGs. All relevant WIASRD data elements must be completed. An explanation of some of the particularly important elements follows:

- WIASRD data items 923 and 924 (1st and 2nd DWG Project IDs), which make it possible to isolate the individuals who were provided services through these POWER DWGs from the general WIA/WIOA DW population, as well as other DWG projects.
- WIASRD data item 901 (Date of Exit) will be used in the calculation of POWER DWGs outcomes.

In order to evaluate the success of POWER DWGs, it is imperative that grantees make every effort to submit the required reports on a timely basis, and that they be accurate and complete. ETA will work with the grantees to transition the required reporting requirements to the performance reporting requirements that will be implemented for the WIOA. The WIOA reporting requirements will become effective July 1, 2016.

Individuals in OJT are exempted from the credential attainment measure for the POWER DWG program, unless the OJT results in the attainment of a credential and subsequent employment. It should be noted that while an individual participating in OJT is not counted for performance under this measure, the information on credential attainment for each individual must still be collected and reported in the WIASRD and submitted to ETA. The number of participants and exiters in the POWER DWG must be included in the quarterly aggregate counts submitted by states in the ETA 9090, WIA Quarterly Report.

We encourage, but do not require, eligible entities to develop other metrics for their POWER DWG grants and to provide the results in the comments section of their ETA 9104 submissions. Eligible entities might want to consider gathering information on provider and employer level characteristics, services delivered, and the number of long-term unemployed served. They also may wish to develop metrics that measure things such as initial employer involvement, the depth of the employer's involvement, and a demonstration of repeat usage of the workforce investment system by the employer.



*NOTE: The grant officer will negotiate with grantees on how to keep track of employers who have workers or former workers served through the grant.*

- 14. Paperwork Reduction Act (PRA) Statement.** According to the PRA, no persons are required to respond to a collection of information unless such collection displays a valid OMB Control Number. The Department notes that a Federal agency may not conduct or sponsor a collection of information, nor is the public required to respond to a collection of information unless it is approved by OMB under the PRA, and displays a currently valid OMB Control Number (44 U.S.C. 3507). Also, notwithstanding any other provisions of law, no person shall be subject to penalty for failing to comply with a collection of information if the collection of information does not display a currently valid OMB Control Number (44 U.S.C. 3512). The currently valid OMB Control Number for this collection is OMB 1205-0439.
- 15. Inquiries.** Questions about this guidance should be directed to the appropriate ETA Regional Office and to [NO-OWL.Official@dol.gov](mailto:NO-OWL.Official@dol.gov).